

NOV. 30. 2004 3:55PM

NO. 1319 P. 1  
RECEIVED  
CENTRAL FAX CENTER  
NOV 30 2004



Patent & Trademark Division  
Abbott Laboratories  
One Hundred Abbott Park Road  
Abbott Park, Illinois 60064-8050  
Telecopy: 847-938-2623

**FACSIMILE/TELECOPY COVER SHEET**  
**OFFICIAL DOCUMENTS!!!!**

DATE: November 30, 2004

TOTAL NUMBER OF PAGES (INCLUDING COVER SHEET): 19

TO: Commissioner for Patents  
United States Patent and Trademark Office

FAX NUMBER: (703) 872-9306

FROM: Beth A. Vrioni  
Patents and Trademarks  
D-0377, AP6A-1  
Telephone: (847) 938-7576

**MESSAGE:**

Applicants: G.G. McBride, et al.  
Serial No.: 09/684628  
Filing Date: October 6, 2000  
Title: TRANSVERSED CONNECTOR WITH CAM ACTIVATED ENGAGERS  
Attorney Docket No.: 5259-04700US01

Enclosed herewith for the patent application identified above entitled TRANSVERSED CONNECTOR WITH CAM ACTIVATED ENGAGERS are the following:

1. Power of Attorney and Change of Correspondence Address Indication Form with Attachment A listing application/patent number **SEE PAGE 4 OF ATTACHMENT A** (6 Pages)
2. Statement Under 27 CFR 3.73(b) with Attachment A listing application, patent, reel, and frame number **SEE PAGE 4 OF ATTACHMENT A** (6 Pages)
3. Notification of Loss of Entity with Attachment A listing application/patent number **SEE PAGE 4 OF ATTACHMENT A** (6 Pages)

THIS TRANSMISSION IS INTENDED ONLY FOR THE INDIVIDUAL(S) TO WHOM IT IS ADDRESSED. It may contain confidential information, attorney work product, or other privileged material. If you are not the intended recipient, or an employee or agent responsible for delivering this message to the intended recipient, you are hereby notified that any dissemination, distribution, or copying of this transmission is strictly prohibited. If you have received this transmission in error, please notify us immediately by telephone at (847) 937-6369 and return the transmission to us at the address listed above.

©Abbott Laboratories, 2000. All rights reserved.

**BEST AVAILABLE COPY**

PTO/SB/81 (08-04)

Approved for use through 11/30/2005, OMB 0651-0035  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

|                        |                  |
|------------------------|------------------|
| Application Number     | See Attachment A |
| Filing Date            | See Attachment A |
| First Named Inventor   | See Attachment A |
| Title                  | See Attachment A |
| Art Unit               |                  |
| Examiner Name          |                  |
| Attorney Docket Number | See Attachment A |

I hereby appoint:

☒ Practitioners associated with the Customer Number:

23492

OR

☐ Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
|      |                     |
|      |                     |
|      |                     |
|      |                     |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/98)

SIGNATURE of Applicant or Assignee of Record (If assignee, put name, title and company name in the "Name" space below)

|           |                          |           |                |
|-----------|--------------------------|-----------|----------------|
| Name      | Jeffrey R. Binder        |           |                |
| Signature | <i>Jeffrey R. Binder</i> |           |                |
| Date      | 7/23/04                  | Telephone | (512) 918-2700 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**BEST AVAILABLE COPY**

**Power of Attorney and Change of Correspondence  
Attachment A**

| Applicant | Address    | City    | State      | Zip     | Phone          | Method                                   | Signature            | Date  |
|-----------|------------|---------|------------|---------|----------------|--|----------------------|---|
| 09/681278 | 10/17/2000 | Granted | 6/13/2003  | 6562040 | 5259-00100USC1 | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/97  |
| 09/093756 | 6/9/1998   | Granted | 10/17/2000 | 8132430 | 5259-00100USD1 | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/97  |
| 09/434324 | 11/4/1999  | Filed   |            |         | 5259-00100USD2 | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 008359/0658 Recorded 1/21/97;<br>008802/0192 Recorded 1/23/97; 014210/0603 Recorded 6/26/03 |
| 08/740123 | 10/24/1998 | Granted | 7/9/2002   | 6416515 | 5259-00100USC1 | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/97  |
| 08/842325 | 10/11/1997 | Granted | 7/22/2003  | 6695982 | 5259-00100USP1 | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 008802/0192 Recorded 1/23/97  |
| 08/026711 | 2/20/1998  | Granted | 11/23/1999 | 5989250 | 5259-00100USP2 | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 014210/0603 Recorded 6/26/03  |
| 09/805200 | 6/27/2000  | Granted | 6/10/2003  | 6576016 | 5259-00200USC1 | Adjustable Height Fusion Device          | Stephen Houchschuler | 009803/0209 Recorded 11/23/98; 008756/0146 Recorded 10/14/97                                |
| 09/163178 | 9/15/1998  | Granted | 6/27/2000  | 6080193 | 5259-00200USD1 | Adjustable Height Fusion Device          | Stephen Houchschuler | 009803/0209 Recorded 11/23/98   |
| 08/847172 | 6/11/1997  | Granted | 4/4/2000   | 6045579 | 5259-00200USC1 | Adjustable Height Fusion Device          | Stephen Houchschuler | 008756/0146 Recorded 10/14/97   |
| 08/046739 | 3/24/1998  | Granted | 11/4/2003  | 6841814 | 5259-00200USC1 | Multi-Adjustable-Height Fusion Cage      | Erik J. Wagner       | 009442/0848 Recorded 8/31/98  |
| 09/070116 | 4/30/1998  | Granted | 3/16/2004  | 6706070 | 5259-00200USP2 | Multi-Adjustable-Height Fusion Device    | Erik J. Wagner       | 009422/0983 Recorded 8/24/98  |
| 09/211887 | 12/15/1998 | Granted | 8/10/1999  | 5935133 | 5259-00600USD1 | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/9/98   |
| 09/211888 | 12/15/1998 | Granted | 5/21/2002  | 6391030 | 5259-00600USD2 | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/9/98   |
| 08/919127 | 8/26/1997  | Granted | 10/12/1999 | 5964789 | 5259-00600USC1 | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/9/98   |
| 09/085186 | 5/26/1998  | Granted | 4/25/2000  | 6063921 | 5259-00600USP1 | Surgical Cable System and Method         | Erik J. Wagner       | 009351/0189 Recorded 7/21/98  |
| 09/360062 | 7/23/1998  | Granted | 1/27/2004  | 6682533 | 5259-00500USP2 | Surgical Cable System and Method         | Erik J. Wagner       | 009674/0023 Recorded 4/2/99   |

**Power of Attorney and Change of Correspondence  
Attachment A**

| Application No. | Date of Filing | Status  | Priority Date | Serial No.     | Class of Matter   | Inventor             | Date of Recording              |
|-----------------|----------------|---------|---------------|----------------|---|----------------------|--------------------------------|
| 10/036012       | 12/28/2001     | Filed   |               | 5259-00600USC1 | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner       | 009450/0947 Recorded 9/11/98   |
| 09/089027       | 6/21/1998      | Granted | 9/24/2002     | 6454769        | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner       | 009450/0947 Recorded 9/11/98   |
| 09/095290       | 6/10/1998      | Granted | 2/29/2000     | 6030389        | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner       | 009450/0959 Recorded 9/11/98   |
| 08/886281       | 7/16/1997      | Granted | 7/27/1999     | 5928243        | Pedicle Probe and Depth Gauge   | Richard D. Guyer     | 008932/0159 Recorded 1/30/98   |
| 09/159303       | 9/23/1998      | Granted | 11/14/2000    | 6146382        | Occipito-Cervical Stabilization System and Method                               | John R. Hurlbert     | 0088667/0352 Recorded 12/23/98 |
| 09/070323       | 4/30/1998      | Granted | 8/8/2000      | 6099627        | Bone Protector and Method   | Stephen Houchschuler | 008650/0211 Recorded 11/9/98   |
| 09/059162       | 4/13/1998      | Granted | 5/16/2000     | 6063089        | Side Mounted Polyaxial Pedicle Screw  | Joseph P. Errico     | 009275/0021 Recorded 6/30/98   |
| 08/772407       | 12/23/1998     | Granted | 7/7/1998      | 5776135        | Side Mounted Polyaxial Pedicle Screw  | Joseph P. Errico     | 008275/0021 Recorded 6/30/98   |
| 09/059108       | 4/13/1998      | Granted | 10/31/2000    | 6139548        | Sliding Shaft Variable Length Cross-Link Device for Use with Dual Rod Apparatus | Joseph P. Errico     | 009275/0021 Recorded 6/30/98   |
| 08/549977       | 10/30/1995     | Granted | 5/19/1998     | 5752955        | Sliding Shaft Variable Length Cross-Link Device for Use with Dual Rod Apparatus | Joseph P. Errico     | 009275/0021 Recorded 6/30/98   |
| 09/070234       | 4/30/1998      | Granted | 10/5/1999     | 5961518        | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism            | Joseph P. Errico     | 009275/0021 Recorded 6/30/98   |
| 09/261977       | 3/4/1999       | Granted | 1/25/2000     | 6017344        | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism            | Joseph P. Errico     | 009275/0021 Recorded 6/30/98   |

|           |             |         |           |         |                |   |                  |                               |
|-----------|-------------|---------|-----------|---------|----------------|---|------------------|-------------------------------|
| 08/066773 | 5/15/1997   | Granted | 7/26/1998 | 5795711 | 5259-02300USC1 | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism                  | Joseph P. Errico | 009275/0021 Recorded 6/30/98  |
| 08/080810 | 6/23/1997   | Granted | 6/22/1998 | 5810819 | 5259-02300USP1 | Polyaxial Pedicle Screw Having a Compression Locking Rod Gripping Mechanism           | Joseph P. Errico | 009275/0021 Recorded 6/30/98  |
| 09/070268 | 4/30/1998   | Granted | 12/7/1999 | 5897539 | 5259-02300USP2 | Polyaxial Pedicle Screw Having a Compression Locking Rod Gripping Mechanism           | Joseph P. Errico | 009275/0021 Recorded 6/30/98  |
| 08/622891 | 3/29/1996   | Granted | 8/5/1997  | 5853763 | 5259-02500USC1 | Intervertebral Space Shape Conforming Cage Device                                     | Joseph P. Errico | 009490/0692 Recorded 10/15/98 |
| 08/667144 | 12/4/1995   | Granted | 9/16/1997 | 5667507 | 5259-02600USC1 | Compression Locking Variable Length Cross-Link Device for Use with Dual Rod Apparatus | James P. Errico  | 9490/0692 Recorded 10/5/98    |
| 08/632561 | 4/15/1986   | Granted | 1/20/1998 | 5709684 | 5259-02600USP1 | Advanced Compression Locking Variable Length Cross-Link Device                        | Joseph P. Errico | 9490/0692 Recorded 10/5/98    |
| 08/228287 | 1/13/1989   | Granted | 9/26/2000 | 6123707 | 5259-03000USC1 | Reduction Instrument  | Erik J. Wagner   | 009840/0875 Recorded 3/2/99   |
| 09/298289 | 4/23/1999   | Granted | 8/3/2002  | 6442814 | 5259-03100USC1 | Apparatus for Manufacturing a Bone Dowel  | Erik J. Wagner   | 010085/0138 Recorded 7/12/99  |
| 09/389964 | 8/8/1999    | Granted | 5/8/2003  | 6557226 | 5259-03100USP1 | Apparatus for Manufacturing a Bone Dowel  | Erik J. Wagner   | 010347/0747 Recorded 10/29/99 |
| 09/532387 | 3/22/2000   | Granted | 5/20/2003 | 6565666 | 5259-03600USC1 | Sacral Screw Assembly and Method  | Erik J. Wagner   | 011073/0752 Recorded 8/13/00  |
| 10/015206 | 1/11/9/2001 | Filed   |           |         | 5259-03700USC1 | System and Method for Stabilizing the Human Spine with a Bone Plate                   | Jim Freid        | 010732/0443 Recorded 4/20/00  |
| 10/735976 | 12/16/2003  | Filed   |           |         | 5259-03700USC2 | System and Method for Stabilizing the Human Spine with a Bone Plate                   | Jim Freid        | 010732/0443 Recorded 4/20/00  |

**Power of Attorney and Change of Correspondence  
Attachment A**

|           |           |         |            |         |                |   |                        |  |
|-----------|-----------|---------|------------|---------|----------------|---|------------------------|--|
| 09/479458 | 1/6/2000  | Granted | 12/18/2001 | 6331178 | 5259-03700USO1 | System and Method for Stabilizing the Human Spine with a Bone Plate | Jim Freid              | 010732/0443 Recorded 4/20/00                                 |
| 09/961758 | 9/24/2001 | Granted | 9/9/2003   | 6816671 | 5259-04000USC1 | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry      | 010765/0303 Recorded 5/5/00                                  |
| 09/478923 | 1/6/2000  | Granted | 9/10/2002  | 6447512 | 5259-04000USO1 | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry      | 010765/0303 Recorded 5/5/00                                  |
| 09/755183 | 7/5/2001  | Granted | 2/25/2003  | 6524312 | 5259-04000USP1 | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry      | 012032/0293 Recorded 7/31/01<br>013008/0228 Recorded 5/23/02 |
| 10/387329 | 3/11/2003 | Filed   |            |         | 5259-04500USO1 | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry      | 014380/0261 Recorded 8/11/03                                 |
| 10/387363 | 3/11/2003 | Filed   |            |         | 5259-04500USO2 | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry      | 014403/0794 Recorded 8/13/03                                 |
| 10/387361 | 3/11/2003 | Filed   |            |         | 5259-04500USO3 | Spinal Implant Including a Compressible Connector                   | Michael E. Landry      | 014383/0746 Recorded 8/11/03                                 |
| 09/852209 | 9/12/2001 | Granted | 6/8/2004   | 6746449 | 5259-04600USO1 | Spinal Rod Translation Instrument                                   | Robert J. Jones        | 012557/0740 Recorded 1/30/02                                 |
| 09/884628 | 10/6/2000 | Filed   |            |         | 5259-04700USO1 | Transverse Connector with Cam Activated Engagers                    | Grady G. McBride       | 011515/0894 Recorded 2/12/01                                 |
| 09/884218 | 10/8/2000 | Filed   |            |         | 5259-04800USO1 | Adjustable Transverse Connector                                     | Grady G. McBride       | 011518/0837 Recorded 2/12/01                                 |
| 09/880756 | 10/8/2000 | Filed   |            |         | 5259-04900USO1 | Adjustable Transverse Connector with Cam Activated Engagers         | Grady G. McBride       | 011583/0800 Recorded 3/15/01                                 |
| 10/337219 | 1/6/2003  | Filed   |            |         | 5259-07800USO1 | Surgical Implants for Use as Spinal Spacers                         | David J. Krueger       | 014157/0620 Recorded 6/6/03                                  |
| 10/200024 | 7/18/2002 | Filed   |            |         | 5259-07900USO1 | Spinal Stabilization System and Method                              | Margaret E. Mitchell   | 013449/0035 Recorded 10/29/02                                |
| 10/291245 | 11/8/2002 | Filed   |            |         | 5259-08300USO1 | Spinal Implant  | Javier Garcia-Benghcha | 013786/0202 Recorded 2/24/03                                 |

| Case Number | Filing Date | Filed | Class | USPC Class | IPC Class | Inventor               | Attorney | Recorded   |
|-------------|-------------|-------|-------|------------|-----------|------------------------|----------|--|
| 10/291223   | 11/6/2002   | Filed |       |            |           | Javier Garcia-Bengchoa |          | 013786/0320 Recorded 2/21/03                               |
| 10/356391   | 1/31/2003   | Filed |       |            |           | Jim Freid              |          | 014181/0907 Recorded 8/16/03                               |
| 10/351283   | 1/23/2003   | Filed |       |            |           | Jim Freid              |          | 014397/0674 Recorded 8/14/03                               |
| 10/351288   | 1/24/2003   | Filed |       |            |           | Jim Freid              |          | 014302/0118 Recorded 7/15/03                               |
| 29/155057   | 2/1/2002    | Filed |       |            |           | Jim Freid              |          | 012623/0549 Recorded 4/22/02                               |
| 10/698049   | 10/30/2003  | Filed |       |            |           | Michael E. Landry      |          | Assignment filed 4/2/04<br>Reel/frame not yet received     |
| 10/698010   | 10/30/2003  | Filed |       |            |           | Michael E. Landry      |          | Assignment filed 3/30/04<br>Reel/frame not yet received    |
| 10/687793   | 10/30/2003  | Filed |       |            |           | Michael E. Landry      |          | Assignment filed 3/29/04<br>Reel/frame not yet received    |
| 10/698046   | 10/30/2003  | Filed |       |            |           | Michael E. Landry      |          | Assignment filed 3/31/04<br>Reel/frame not yet received    |
| 10/698966   | 10/31/2003  | Filed |       |            |           | James F. Marino        |          | Assignment Filed 3/12/2004;<br>Reel/frame not yet received |
| 10/688618   | 10/31/2003  | Filed |       |            |           | David J. Krueger       |          | Assignment filed 4/2/04<br>Reel/frame not yet received     |
| 10/631181   | 12/27/2002  | Filed |       |            |           | Reginald J. Davis      |          | 014164/0207 Recorded 6/1/2003                              |

PTO/SB/88 (06-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Spinal Concepts, Inc.Application No./Patent No.: See Attachment A Filed/Issue Date: See Attachment AEntitled: See Attachment ASpinal Concepts, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:A. [☒] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded  
in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is  
attached. (See Attachment A)

OR

B. [☐] A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown  
below:

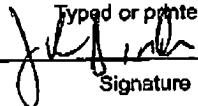
1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ☐ ] Additional documents in the chain of title are listed on a supplemental sheet.

- [ ☐ ] Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be  
submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be  
recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

7/23/04  
Date  
(512) 918-2700  
Telephone number

Jeffrey R. Binder  
Typed or printed name  
  
Signature  
Vice President, Spinal Concepts, Inc.  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-0199 and select option 2.



**STATEMENT UNDER 37 CFR 3.73(b)  
Attachment A**

| Applicant | Date of Filing | Status  | Date of Decision | Class of Matter | Class of Matter | Class of Matter                          | Inventor             | Date of Decision   |
|-----------|----------------|---------|------------------|-----------------|-----------------|--|----------------------|--|
| 09/691279 | 10/17/2000     | Granted | 5/13/2003        | 6562040         | 5259-00100USC1  | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/87   |
| 09/093758 | 6/9/1998       | Granted | 10/17/2000       | 6132430         | 5259-00100USD1  | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/87   |
| 09/434324 | 11/4/1999      | Filed   |                  |                 | 5259-00100USD2  | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 008359/0658 Recorded 1/21/87;<br>008802/0192 Recorded 12/31/97; 014210/0603 Recorded 6/26/03 |
| 08/740123 | 10/24/1998     | Granted | 7/8/2002         | 6416515         | 5259-00100USC1  | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/87   |
| 08/842325 | 10/1/1997      | Granted | 7/22/2003        | 6585882         | 5259-00100USP1  | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 008802/0192 Recorded 12/31/97  |
| 09/026711 | 2/20/1998      | Granted | 11/23/1999       | 5988250         | 5259-00100USP2  | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 014210/0603 Recorded 6/26/03   |
| 09/050200 | 6/27/2000      | Granted | 6/10/2003        | 6576016         | 5259-00200USC1  | Adjustable Height Fusion Device          | Stephen Houchschuler | 009603/0209 Recorded 11/23/98; 008756/0146 Recorded 10/14/97                                 |
| 09/163178 | 8/16/1998      | Granted | 8/27/2000        | 6080193         | 5259-00200USD1  | Adjustable Height Fusion Device          | Stephen Houchschuler | 008756/0146 Recorded 10/14/97  |
| 08/847172 | 5/1/1997       | Granted | 4/4/2000         | 6045578         | 5259-00200USC1  | Multi-Adjustable-Height Fusion Cage      | Erik J. Wagner       | 009442/0848 Recorded 8/31/98   |
| 09/046759 | 3/24/1998      | Granted | 11/4/2003        | 6641614         | 5259-00200USP1  | Multi-Adjustable-Height Fusion Device    | Erik J. Wagner       | 009442/0883 Recorded 8/24/98   |
| 09/070116 | 4/30/1998      | Granted | 3/16/2004        | 6706070         | 5259-00200USP2  | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/8/98  |
| 09/211887 | 12/15/1998     | Granted | 8/10/1999        | 5935133         | 5259-00500USD1  | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/8/98  |
| 09/211888 | 12/15/1998     | Granted | 5/21/2002        | 6381030         | 5259-00500USD2  | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/8/98  |
| 08/919127 | 8/26/1997      | Granted | 10/12/1999       | 5964769         | 5259-00500USC1  | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/8/98  |
| 09/065186 | 5/26/1998      | Granted | 4/25/2000        | 6053921         | 5259-00500USP1  | Surgical Cable System and Method         | Erik J. Wagner       | 009351/0189 Recorded 7/21/98   |
| 09/360062 | 7/23/1999      | Granted | 1/27/2004        | 6882533         | 5259-00500USP2  | Surgical Cable System and Method         | Erik J. Wagner       | 009874/0023 Recorded 4/2/99  |

**STATEMENT UNDER 37 CFR 3.73(b)**  
**Attachment A**

| Applicant's Name | Applicant's Address | Applicant's City | Applicant's State | Applicant's Zip | Applicant's Phone | Applicant's Email | Applicant's Signature   | Applicant's Date     | Applicant's Title | Applicant's Position | Applicant's Organization | Applicant's Address | Applicant's City | Applicant's State | Applicant's Zip | Applicant's Phone | Applicant's Email | Applicant's Signature | Applicant's Date | Applicant's Title | Applicant's Position | Applicant's Organization |
|------------------|---------------------|------------------|-------------------|-----------------|-------------------|-------------------|---|----------------------|-------------------|----------------------|--------------------------|---------------------|------------------|-------------------|-----------------|-------------------|-------------------|-----------------------|------------------|-------------------|----------------------|--------------------------|
| 10/036012        | 12/26/2001          | Filed            |                   |                 |                   |                   |   |                      |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/089027        | 6/21/1998           | Granted          |                   | 9/24/2002       | 6454769           | 5259-00800USP1    | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner       |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/095290        | 6/10/1998           | Granted          |                   | 2/28/2000       | 6030389           | 5259-00600USP2    | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner       |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 08/896281        | 7/16/1997           | Granted          |                   | 7/27/1999       | 5928243           | 5259-00700USO1    | Pedicle Probe and Depth Gauge   | Richard D. Guyer     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/158303        | 9/23/1998           | Granted          |                   | 11/14/2000      | 6146382           | 5259-01200USO1    | Occipito-Cervical Stabilization System and Method                               | John R. Hurlbert     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/070323        | 4/30/1998           | Granted          |                   | 8/8/2000        | 6099527           | 5259-01300USO1    | Bone Protector and Method   | Stephen Houchschuler |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/059162        | 4/13/1998           | Granted          |                   | 5/16/2000       | 6063089           | 5259-02100USC1    | Side Mounted Polyaxial Pedicle Screw  | Joseph P. Errico     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 08/772407        | 12/23/1996          | Granted          |                   | 7/7/1998        | 5776135           | 5259-02100USO1    | Side Mounted Polyaxial Pedicle Screw  | Joseph P. Errico     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 08/058108        | 4/13/1998           | Granted          |                   | 10/31/2000      | 6139548           | 5259-02200USC1    | Sliding Shaft Variable Length Cross-Link Device for Use with Dual Rod Apparatus | Joseph P. Errico     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 08/549977        | 10/30/1995          | Granted          |                   | 5/19/1998       | 5752855           | 5259-02200USO1    | Sliding Shaft Variable Length Cross-Link Device for Use with Dual Rod Apparatus | Joseph P. Errico     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/070234        | 4/30/1998           | Granted          |                   | 10/5/1999       | 5981518           | 5259-02300USC1    | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism            | Joseph P. Errico     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |
| 09/261877        | 3/4/1999            | Granted          |                   | 12/5/2000       | 6017344           | 5259-02300USD1    | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism            | Joseph P. Errico     |                   |                      |                          |                     |                  |                   |                 |                   |                   |                       |                  |                   |                      |                          |

| Case No.  | Applicant  | Date of Filing | Date of Decision | Amount  | Case No.       | Applicant   | Date of Filing  | Date of Decision              | Amount |
|-----------|------------|----------------|------------------|---------|----------------|---|-----------------|-------------------------------|--------|
| 08/856773 | 5/15/1997  | Granted        | 7/28/1998        | 5785711 | 5259-02300USC1 | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism                  | Joseph P. Erico | 009275/0021 Recorded 6/30/98  |        |
| 08/880810 | 6/23/1997  | Granted        | 9/22/1998        | 5610819 | 5259-02300USP1 | Polyaxial Pedicle Screw Having a Compression Locking Rod Gripping Mechanism           | Joseph P. Erico | 009275/0021 Recorded 6/30/98  |        |
| 09/070268 | 4/30/1998  | Granted        | 12/7/1999        | 5697539 | 5259-02300USP2 | Polyaxial Pedicle Screw Having a Compression Locking Rod Gripping Mechanism           | Joseph P. Erico | 009275/0021 Recorded 6/30/98  |        |
| 08/622891 | 3/29/1996  | Granted        | 8/5/1997         | 5653763 | 5259-02500USC1 | Intervertebral Space Shape Conforming Cage Device                                     | Joseph P. Erico | 009480/0692 Recorded 10/15/98 |        |
| 08/667144 | 12/4/1995  | Granted        | 9/18/1997        | 5667507 | 5259-02600USC1 | Compression Locking Variable Length Cross-Link Device for Use with Dual Rod Apparatus | James P. Erico  | 9480/0692 Recorded 10/5/98    |        |
| 08/632561 | 4/15/1996  | Granted        | 1/20/1998        | 5708684 | 5259-02600USP1 | Advanced Compression Locking Variable Length Cross-Link Device                        | Joseph P. Erico | 9480/0692 Recorded 10/5/98    |        |
| 09/229297 | 1/13/1999  | Granted        | 9/26/2000        | 6123707 | 5259-03000USC1 | Reduction Instrument  | Erik J. Wagner  | 009840/0875 Recorded 3/2/99   |        |
| 09/288269 | 4/23/1999  | Granted        | 9/3/2002         | 6442814 | 5259-03100USC1 | Apparatus for Manufacturing a Bone Dowel  | Erik J. Wagner  | 010085/0138 Recorded 7/12/99  |        |
| 09/369984 | 8/6/1999   | Granted        | 5/8/2003         | 6557226 | 5259-03100USP1 | Apparatus for Manufacturing a Bone Dowel  | Erik J. Wagner  | 010347/0747 Recorded 10/29/99 |        |
| 09/532387 | 3/22/2000  | Granted        | 5/20/2003        | 6566568 | 5259-03600USC1 | Sacral Screw Assembly and Method  | Erik J. Wagner  | 011073/0752 Recorded 9/13/00  |        |
| 10/015206 | 11/19/2001 | Filed          |                  |         | 5259-03700USC1 | System and Method for Stabilizing the Human Spine with a Bone Plate                   | Jim Freid       | 010732/0443 Recorded 4/20/00  |        |
| 10/735976 | 12/16/2003 | Filed          |                  |         | 5259-03700USC2 | System and Method for Stabilizing the Human Spine with a Bone Plate                   | Jim Freid       | 010732/0443 Recorded 4/20/00  |        |

|             |           |         |             |         |                |   |                        |  |
|-------------|-----------|---------|-------------|---------|----------------|---|------------------------|--|
| 09/4/79-458 | 1/6/2000  | Granted | 12/7/8/2001 | 6331179 | 5259-03700USO1 | System and Method for Stabilizing the Human Spine with a Bore Plate | Jim Freid              | 010732/0443 Recorded 4/20/00                                 |
| 09/961768   | 9/24/2001 | Granted | 9/9/2003    | 6616671 | 5259-04000USC1 | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry      | 010765/0303 Recorded 5/5/00                                  |
| 09/478923   | 1/6/2000  | Granted | 9/10/2002   | 6447512 | 5259-04000USO1 | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry      | 010765/0303 Recorded 5/5/00                                  |
| 09/755183   | 7/5/2001  | Granted | 2/26/2003   | 6524312 | 5259-04000USP1 | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry      | 012032/0293 Recorded 7/31/01<br>013006/0228 Recorded 5/23/02 |
| 10/387329   | 3/11/2003 | Filed   |             |         | 5259-04500USO1 | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry      | 014380/0261 Recorded 8/11/03                                 |
| 10/387363   | 3/11/2003 | Filed   |             |         | 5259-04500USO2 | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry      | 014403/0794 Recorded 8/13/03                                 |
| 10/367361   | 3/11/2003 | Filed   |             |         | 5259-04500USO3 | Spinal Implant Including a Compressible Connector                   | Michael E. Landry      | 014383/0748 Recorded 8/11/03                                 |
| 09/952209   | 9/12/2001 | Granted | 6/8/2004    | 6746449 | 5259-04600USO1 | Spinal Rod Translation Instrument                                   | Robert J. Jones        | 012567/0740 Recorded 1/30/02                                 |
| 09/864628   | 10/6/2000 | Filed   |             |         | 5259-04700USO1 | Transverse Connector with Cam Activated Engagers                    | Grady G. McBride       | 011515/0884 Recorded 2/12/01                                 |
| 09/864218   | 10/6/2000 | Filed   |             |         | 5259-04800USO1 | Adjustable Transverse Connector                                     | Grady G. McBride       | 011518/0637 Recorded 2/12/01                                 |
| 09/680756   | 10/6/2000 | Filed   |             |         | 5259-04900USO1 | Adjustable Transverse Connector with Cam Activated Engagers         | Grady G. McBride       | 011593/0900 Recorded 3/15/01                                 |
| 10/337219   | 1/8/2003  | Filed   |             |         | 5259-07800USO1 | Surgical Implants for Use as Spinal Spacers                         | David J. Krueger       | 014157/0620 Recorded 6/6/03                                  |
| 10/200024   | 7/19/2002 | Filed   |             |         | 5259-07900USO1 | Spinal Stabilization System and Method                              | Margaret E. Mitchell   | 013448/0035 Recorded 10/29/02                                |
| 10/291245   | 11/6/2002 | Filed   |             |         | 5259-08300USO1 | Spinal Implant  | Javier Garcia-Benghoie | 013796/0202 Recorded 2/24/03                                 |

**STATEMENT UNDER 37 CFR 3.73(b)**  
**Attachment A**

| Applicant Name | Filing Date | Filed | Class | Priority | IPC Class      | Abstract  | Inventor               | Assignment  |
|----------------|-------------|-------|-------|----------|----------------|---|------------------------|---|
| 10/291223      | 11/8/2002   | Filed |       |          | 5259-08300USO2 | Instruments and Methods for Inserting a Spinal Implant                                | Jawler Garcia-Bengchoa | 013786/0320 Recorded 2/21/03                            |
| 10/366391      | 1/31/2003   | Filed |       |          | 5259-09200USO1 | Spinal Plate Extender System and Method   | Jim Freid              | 014181/0907 Recorded 6/16/03                            |
| 10/351283      | 1/23/2003   | Filed |       |          | 5259-09900USO1 | Spinal Plate System for Stabilizing a Portion of a Spine                              | Jim Freid              | 014397/0674 Recorded 8/14/03                            |
| 10/351288      | 1/24/2003   | Filed |       |          | 5259-09800USO2 | Spinal Plate System for Stabilizing a Portion of a Spine                              | Jim Freid              | 014302/0118 Recorded 7/15/03                            |
| 29/155057      | 2/1/2002    | Filed |       |          | 5259-10000USO1 | Extension Plate Bone Fastener Assembly for a Spinal Stabilization System              | Jim Freid              | 012823/0549 Recorded 4/22/02                            |
| 10/698049      | 10/30/2003  | Filed |       |          | 5259-10700USO1 | Spinal Stabilization Systems and Methods Using Minimally Invasive Surgical Procedures | Michael E. Landry      | Assignment filed 4/2/04<br>Reel/Frame not yet received  |
| 10/698010      | 10/30/2003  | Filed |       |          | 5259-10700USO2 | Spinal Stabilization Systems and Methods  | Michael E. Landry      | Assignment filed 3/30/04<br>Reel/Frame not yet received |
| 10/697763      | 10/30/2003  | Filed |       |          | 5259-10700USO3 | Spinal Stabilization Systems and Methods  | Michael E. Landry      | Assignment filed 3/29/04<br>Reel/Frame not yet received |
| 10/698046      | 10/30/2003  | Filed |       |          | 5259-10800USO1 | Spinal Stabilization System Using Flexible Members                                    | James F. Marino        | Assignment filed 3/31/04<br>Reel/Frame not yet received |
| 10/698986      | 10/31/2003  | Filed |       |          | 5259-11100USO1 | Spinal Disc Implant   | David J. Krueger       | Assignment filed 4/2/04<br>Reel/Frame not yet received  |
| 10/699618      | 10/31/2003  | Filed |       |          | 5259-11300USO1 | Movable Disc Implant  | Reginald J. Davis      | Assignment filed 4/2/04<br>Reel/Frame not yet received  |
| 10/331191      | 12/27/2002  | Filed |       |          | 5259-12300USP1 | Pseudo Arthrosis Device   |                        | 014184/0207 Recorded 6/12/03                            |

Practitioner's Docket No. (See Attachment A)  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT**

Applicant: (See Attachment A)  
Application Number: (See Attachment A)  
Application Filing Date: (See Attachment A)  
Patent Number: (See Attachment A)  
Patent Issuance Date: (See Attachment A)  
Invention Title: (See Attachment A)

**RECEIVED**  
**CENTRAL FAX CENTER**  
**NOV 30 2004**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**NOTIFICATION OF LOSS OF STATUS AS SMALL ENTITY**  
**(37 C.F.R. § 1.27(g)(2))**

1. Applicant asserted small entity status on the applications listed on Attachment A, on the dates listed on Attachment A, by payment of the basic filing fee as a small entity (37 C.F.R. § 1.27(c)(3)).
2. Applicant hereby notifies the Office, in accordance with the requirements of 37 C.F.R. § 1.27(g)(2), that it no longer has status as a small entity.

Beth A. Vrioni, Reg. No. 39,869

Date: August 19, 2004

Beth A. Vrioni  
Signature

Assignee:

Person authorized to sign on behalf of assignee

Spinal Concepts, Inc.  
5301 Riata Park Court  
Bldg. F  
Austin, TX 78727

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a)**

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 with sufficient postage as first class mail.

Date: 8/19/04

Signature

Kimberly A. Iorio  
Kimberly A. Iorio

**LIST OF PATENTS AND APPLICATIONS FOR NOTIFICATION OF LOSS OF STATUS OF SMALL ENTITY**  
**(37 C.F.R. 1.27(c)(3))**  
**Attachment A**

| Patent No. | Filing Date | Status  | Pub. No.   | Pub. Date | Int. Class.    | IPC Class.                               | Inventor             | App. No.   | App. Date |
|------------|-------------|---------|------------|-----------|----------------|--|----------------------|--|-----------|
| 09/691279  | 10/17/2000  | Granted | 5/13/2003  | 6562040   | 5259-00100USC1 | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/97   |           |
| 09/093768  | 8/9/1998    | Granted | 10/17/2000 | 6132430   | 5259-00100USD1 | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/97   |           |
| 09/434324  | 11/4/1999   | Filed   |            |           | 5259-00100USD2 | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 008359/0658 Recorded 1/21/97;<br>008602/0192 Recorded 12/31/97; 014210/0603 Recorded 6/26/03 |           |
| 09/740123  | 10/24/1996  | Granted | 7/9/2002   | 6416515   | 5259-00100USO1 | Spinal Fixation System                   | Erik J. Wagner       | 008359/0658 Recorded 1/21/97   |           |
| 09/942325  | 10/11/1997  | Granted | 7/22/2003  | 6595992   | 5259-00100USP1 | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 008602/0192 Recorded 12/31/97  |           |
| 09/026711  | 2/20/1998   | Granted | 11/23/1999 | 5989260   | 5259-00100USP2 | Method and Apparatus for Spinal Fixation | Erik J. Wagner       | 014210/0603 Recorded 6/28/03   |           |
| 09/605200  | 6/27/2000   | Granted | 6/10/2003  | 6576016   | 5259-00200USC1 | Adjustable Height Fusion Device          | Stephen Houchschuler | 008603/0209 Recorded 11/23/98; 008756/0146 Recorded 10/14/97                                 |           |
| 09/153178  | 9/15/1998   | Granted | 6/27/2000  | 6080193   | 5259-00200USD1 | Adjustable Height Fusion Device          | Stephen Houchschuler | 008603/0209 Recorded 11/23/98  |           |
| 08/847172  | 5/1/1997    | Granted | 4/4/2000   | 6045579   | 5259-00200USO1 | Adjustable Height Fusion Device          | Stephen Houchschuler | 008756/0146 Recorded 10/14/97  |           |
| 09/046769  | 3/24/1998   | Granted | 11/4/2003  | 6641614   | 5259-00200USP1 | Multi-Adjustable-Height Fusion Cage      | Erik J. Wagner       | 008442/0848 Recorded 8/31/98   |           |
| 09/070116  | 4/30/1998   | Granted | 3/16/2004  | 6706070   | 5259-00200USP2 | Multi-Adjustable-Height Fusion Device    | Erik J. Wagner       | 009422/0983 Recorded 8/24/98   |           |
| 09/211887  | 12/15/1998  | Granted | 6/10/1999  | 5935133   | 5259-00500USD1 | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/9/98  |           |
| 09/211888  | 12/15/1998  | Granted | 5/21/2002  | 6391030   | 5259-00500USD2 | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/9/98  |           |
| 08/919127  | 8/26/1997   | Granted | 10/12/1999 | 5964769   | 5259-00500USO1 | Surgical Cable System and Method         | Erik J. Wagner       | 008985/0594 Recorded 2/9/98  |           |
| 09/085186  | 5/28/1998   | Granted | 4/25/2000  | 6053921   | 5259-00500USP1 | Surgical Cable System and Method         | Erik J. Wagner       | 008351/0189 Recorded 7/21/98; 008740/023 Recorded 4/2/99                                     |           |
| 09/360082  | 7/23/1999   | Granted | 1/27/2004  | 6682533   | 5259-00500USP2 | Surgical Cable System and Method         | Erik J. Wagner       | 010396/0094 Recorded 11/22/99  |           |

**LIST OF PATENTS AND APPLICATIONS FOR NOTIFICATION OF LOSS OF STATUS OF SMALL ENTITY  
(37 C.F.R. 1.27(c)(3))  
Attachment A**

| Patent No. | Pub. No.   | Pub. Date | App. No.   | App. Date | App. Status    | App. Title  | Inventor           | Pub. Date                      |
|------------|------------|-----------|------------|-----------|----------------|---|--------------------|--------------------------------|
| 10/036012  | 12/28/2001 | Filed     |            |           |                | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner     | 009450/0947 Recorded 9/11/98   |
| 09/089027  | 6/2/1998   | Granted   | 9/24/2002  | 6454769   | 5259-00600USP1 | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner     | 009450/0947 Recorded 8/11/98   |
| 09/085290  | 6/10/1998  | Granted   | 2/29/2000  | 6030389   | 5259-00600USP2 | System and Method for Stabilizing the Human Spine with a Bone Plate             | Erik J. Wagner     | 009450/0959 Recorded 8/11/98   |
| 08/698281  | 7/16/1997  | Granted   | 7/27/1999  | 5928243   | 5259-00700USO1 | Pedicle Probe and Depth Gauge   | Richard D. Guyer   | 009332/0159 Recorded 1/30/98   |
| 08/265005  | 8/23/1994  | Granted   | 4/16/1996  | 5507211   | 5259-01000USO1 | Releasable Socket   | Erik J. Wagner     |                                |
| 09/159303  | 9/23/1998  | Granted   | 11/14/2000 | 6148382   | 5259-01200USO1 | Occipito-Cervical Stabilization System and Method                               | John R. Hurlbert   | 0096667/0352 Recorded 12/23/98 |
| 09/070323  | 4/30/1998  | Granted   | 8/8/2000   | 6099527   | 5259-01300USO1 | Bone Protector and Method   | Stephen Houschuler | 009650/0211 Recorded 11/9/98   |
| 09/059162  | 4/13/1998  | Granted   | 5/18/2000  | 6063089   | 5259-02100USC1 | Side Mounted Polyaxial Pedicle Screw  | Joseph P. Errico   | 009275/0021 Recorded 6/30/98   |
| 08/772407  | 12/23/1998 | Granted   | 7/7/1998   | 5776135   | 5259-02100USO1 | Side Mounted Polyaxial Pedicle Screw  | Joseph P. Errico   | 009275/0021 Recorded 6/30/98   |
| 09/059108  | 4/13/1998  | Granted   | 10/31/2000 | 6139548   | 5259-02200USC1 | Sliding Shaft Variable Length Cross-Link Device for Use with Dual Rod Apparatus | Joseph P. Errico   | 009275/0021 Recorded 6/30/98   |
| 08/549977  | 10/30/1985 | Granted   | 6/16/1998  | 5752855   | 5259-02200USO1 | Sliding Shaft Variable Length Cross-Link Device for Use with Dual Rod Apparatus | Joseph P. Errico   | 009275/0021 Recorded 6/30/98   |
| 09/070234  | 4/30/1998  | Granted   | 10/5/1999  | 5961518   | 5259-02300USC1 | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism            | Joseph P. Errico   | 009275/0021 Recorded 6/30/98   |



**LIST OF PATENTS AND APPLICATIONS FOR NOTIFICATION OF LOSS OF STATUS OF SMALL ENTITY**  
**(37 C.F.R. 1.27(c)(3))**  
**Attachment A**

| Patent No. | Pub. No.  | Pub. Date | App. No.  | App. Date | Inventor       | Attorney   |
|------------|-----------|-----------|-----------|-----------|----------------|--|
| 09/281977  | 3/4/1999  | Granted   | 1/26/2000 | 6017344   | 5259-02300USD1 | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism<br>Joseph P. Errico<br>009275/0021 Recorded 6/30/98               |
| 08/856773  | 6/15/1997 | Granted   | 7/28/1998 | 5765711   | 5259-02300USO1 | Polyaxial Pedicle Screw Having a Through Bar Clamp Locking Mechanism<br>Joseph P. Errico<br>008275/0021 Recorded 6/30/98               |
| 08/860810  | 6/23/1997 | Granted   | 9/22/1998 | 5810819   | 5259-02300USP1 | Polyaxial Pedicle Screw Having a Compression Locking Rod Gripping Mechanism<br>Joseph P. Errico<br>009275/0021 Recorded 6/30/98        |
| 09/070268  | 4/30/1998 | Granted   | 12/7/1999 | 5997539   | 5259-02300USP2 | Polyaxial Pedicle Screw Having a Compression Locking Rod Gripping Mechanism<br>Joseph P. Errico<br>009275/0021 Recorded 6/30/98        |
| 08/822891  | 3/29/1996 | Granted   | 8/5/1997  | 5663763   | 5259-02600USO1 | Intervertebral Space Shape Conforming Cage Device<br>Joseph P. Errico<br>009490/0692 Recorded 10/15/98                                 |
| 08/567144  | 12/4/1995 | Granted   | 9/16/1997 | 5667507   | 5259-02600USO1 | Compression Locking Variable Length Cross-Link Device for Use with Dual Rod Apparatus<br>James P. Errico<br>9490/0692 Recorded 10/5/98 |
| 08/832661  | 4/15/1998 | Granted   | 1/20/1998 | 5709884   | 5259-02600USP1 | Advanced Compression Locking Variable Length Cross-Link Device<br>Joseph P. Errico<br>9490/0692 Recorded 10/5/98                       |
| 08/228297  | 1/13/1999 | Granted   | 9/26/2000 | 6123707   | 5259-03000USO1 | Reduction Instrument<br>Erik J. Wagner<br>009840/0875 Recorded 3/2/99  |
| 08/298269  | 4/23/1999 | Granted   | 9/3/2002  | 6442814   | 5259-03100USO1 | Apparatus for Manufacturing a Bone Dowel<br>Erik J. Wagner<br>010065/0138 Recorded 7/12/99   |
| 09/369864  | 8/6/1999  | Granted   | 5/6/2003  | 6557226   | 5259-03100USP1 | Apparatus for Manufacturing a Bone Dowel<br>Erik J. Wagner<br>010347/0747 Recorded 10/29/99  |
| 09/592387  | 3/22/2000 | Granted   | 5/20/2003 | 6555586   | 5259-03600USO1 | Sacral Screw Assembly and Method<br>Erik J. Wagner<br>011073/0752 Recorded 9/13/00   |

| Applicant Name | Date Filed | Patent No. | Class      | IPC Class | Abstract  | Inventor          | Date of Invention  |
|----------------|------------|------------|------------|-----------|---|-------------------|--|
| 10/015206      | 11/19/2001 | Filed      |            |           | System and Method for Stabilizing the Human Spine with a Bone Plate | Jim Freid         | 010732/0443 Recorded 4/20/00                                 |
| 09/478458      | 1/6/2000   | Granted    | 12/18/2001 | 6331179   | System and Method for Stabilizing the Human Spine with a Bone Plate | Jim Freid         | 010732/0443 Recorded 4/20/00                                 |
| 09/861758      | 8/24/2001  | Granted    | 9/8/2003   | 6616671   | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry | 010765/0303 Recorded 5/5/00                                  |
| 09/478923      | 1/6/2000   | Granted    | 9/10/2002  | 6447512   | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry | 010765/0303 Recorded 5/5/00                                  |
| 09/55183       | 7/5/2001   | Granted    | 2/25/2003  | 6524312   | Instrument and Method for Implanting an Interbody Fusion Device     | Michael E. Landry | 012032/0283 Recorded 7/31/01<br>013008/0228 Recorded 5/23/02 |
| 10/387328      | 3/11/2003  | Filed      |            |           | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry | 014380/0261 Recorded 8/11/03                                 |
| 10/387363      | 3/11/2003  | Filed      |            |           | Instrumentation and Procedure for Implanting Spinal Implant Devices | Michael E. Landry | 014403/0794 Recorded 8/13/03                                 |
| 10/387361      | 3/11/2003  | Filed      |            |           | Sinai Implant Including a Compressible Connector                    | Michael E. Landry | 014383/0746 Recorded 8/11/03                                 |
| 09/852209      | 9/12/2001  | Granted    | 6/8/2004   | 6746449   | Spinal Rod Translation Instrument                                   | Robert J. Jones   | 012557/0740 Recorded 1/30/02                                 |
| 09/884628      | 10/8/2000  | Filed      |            |           | Transverse Connector with Cam Activated Engagers                    | Grady G. McBride  | 011515/0884 Recorded 2/12/01                                 |
| 09/684218      | 10/6/2000  | Filed      |            |           | Adjustable Transverse Connector                                     | Grady G. McBride  | 011518/0637 Recorded 2/12/01                                 |
| 09/680756      | 10/8/2000  | Filed      |            |           | Adjustable Transverse Connector with Cam Activated Engagers         | Grady G. McBride  | 011593/0900 Recorded 3/15/01                                 |
| 10/337219      | 1/8/2003   | Filed      |            |           | Surgical Implants for Use as Spinal Spacers                         | David J. Krueger  | 014157/0820 Recorded 6/6/03                                  |

**LIST OF PATENTS AND APPLICATIONS FOR NOTIFICATION OF LOSS OF STATUS OF SMALL ENTITY  
(37 C.F.R. 1.27(c)(3))  
Attachment A**

| Patent No. | App. No.   | Pub. No. | Pub. Date | Int. Class.    | IPC Class.   | Inventor               | Attorney                      |
|------------|------------|----------|-----------|----------------|--|------------------------|-------------------------------|
| 10/200024  | 7/19/2002  | Filed    |           | 5259-07900USO1 | Spinal Stabilization System and Method                   | Margaret E. Mitchell   | 013449/0035 Recorded 10/29/02 |
| 10/291245  | 11/8/2002  | Filed    |           | 5259-08300USO1 | Spinal Implant   | Javier Garcia-Bengchoa | 013798/0202 Recorded 2/24/03  |
| 10/291223  | 11/8/2002  | Filed    |           | 5259-08300USO2 | Instruments and Methods for Inserting a Spinal Implant   | Javier Garcia-Bengchoa | 013786/0320 Recorded 2/21/03  |
| 10/356391  | 1/31/2003  | Filed    |           | 5259-09200USO1 | Spinal Plate Extender System and Method                  | Jim Freid              | 014181/0907 Recorded 8/16/03  |
| 10/351283  | 1/23/2003  | Filed    |           | 5259-09800USO1 | Spinal Plate System for Stabilizing a Portion of a Spine | Jim Freid              | 014397/0674 Recorded 8/14/03  |
| 10/351288  | 1/24/2003  | Filed    |           | 5259-09900USO2 | Spinal Plate System for Stabilizing a Portion of a Spine | Jim Freid              | 014302/0118 Recorded 7/15/03  |
| 29/155057  | 2/1/2002   | Filed    |           | 5259-10000USO1 | Extension Plate  | Jim Freid              | 012823/0549 Recorded 4/22/02  |
| 10/035052  | 12/28/2001 | Granted  | 5/18/2004 | 5259-12300USO1 | Pseudo Arthrosis Device                                  | Reginald J. Davis      |                               |
| 10/331191  | 12/27/2002 | Filed    |           | 5259-12300USP1 | Pseudo Arthrosis Device                                  | Reginald J. Davis      | 014184/0207 Recorded 8/12/03  |

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**